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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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10/17/2003

Daniel L. Dunn

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DORSEY & WHITNEY LLP - MINNEAPOLIS

INTELLECTUAL PROPERTY PRACTICE GROUP (MP-23)

ATTENTION: PATENT PROSECUTION DOCKETING DEPARTMENT

50 SOUTH SIXTH STREET, SUITE 1500

MINNEAPOLIS, MN 55402-1498

EXAMINER

LE, LINH GIANG

ART UNIT

PAPER NUMBER

3686

NOTIFICATION DATE

DELIVERY MODE

02/23/2011

ELECTRONIC

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

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Office Action Summary	Application No. 10/688,858	Applicant(s) DUNN ET AL.	
	Examiner MICHELLE LE	Art Unit 3686	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 06 July 2010.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-10 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-10 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|---|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413) |
| 2) <input type="checkbox"/> Notice of Draftperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____ |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

Notice to Applicant

1. This communication is in response to BPAI Administrative Remand dated 7/6/10. claims 1 and 10 have been amended. Claims 1-10 are pending.

Claim Rejections - 35 USC § 101

2. In light of the amended claims, the rejection of claims 1-10 under 35 USC 101 is withdrawn.

Claim Rejections - 35 USC § 103

3. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

4. Claims 1-10 rejected under 35 U.S.C. 103(a) as being unpatentable over Robertson(2004/0024620) in view of Bienvenu(2002/0188476).
5. As per claim 1, Robertson teaches a computer-implemented method for assessing risk the method comprising one or more computers performing the following (Robertson; Abstract):

receiving demographic data (Robertson; Pg. 2, Para. 27);
assigning the data to at least one risk group (Robertson; Pg. 4, Para. 64);
storing risk data for the patient (Robertson; Pg. 4, Para. 65);
calculating a risk score for the patient based upon the risk data and the
demographic data of the patient (Robertson; Pg. 4, Para. 54).

Robertson does not expressly teach using prescription data for a patient. However this is well known in the art as evidenced by Bienvenu. In particular, Bienvenu teaches screening prescription history of an insurance applicant (Bienvenu; Pg. 1, Para. 17). It would have been obvious to add this feature to the Robertson method with the motivation of having an effective system and method for assessing prescription drug history information stored in the databases, processing the information and incorporating the information in the insurance process (Bienvenu; Pg. 1, Para. 7)

6. As per claims 2-9, Robertson teaches assigning data to at least one risk group and using risk marker's to calculate a risk score (Robertson; Pg. 2 Para. 27 and Pg. 4 Paras. 54 and 65). Robertson does not expressly teach using prescription data. However this is well known in the art as evidenced by Bienvenu. IN particular, Bienvenu teaches:

using national drug codes to classify each prescription. (Bienvenu; Fig. 5 and Pg. 5, Paras. 42 and 43);

categorizing each national drug code classification into one of a number of pharmacy risk groups (Bienvenu; Fig. 5 and Pg. 5, Paras. 42 and 43);

defining additional member risk markers based on patient age and other characteristics known to indicate that the patient belongs to a high risk category and using the additional member risk markers to calculate the patient's risk score. (Bienvenu; Pg. 1, Para. 4);

providing a clinical and demographic risk profile for the patient based on the patient's age, gender and a mix of clinical and demographic risk profiles and using the patient's clinical and demographic risk profile to calculate the patient's risk score (Bienvenu; Pg. 1, Para. 4 and Pg. 5, Para. 43).

providing multiple patient risk markers for patients with pharmacy services that indicate multiple medical conditions (Bienvenu; Fig. 5);

each risk group is assigned a numerical risk value based upon the patient's demographic data, and the patient's risk score is the sum of the numerical risk values of the risk groups in the patient's risk data (Bienvenu; Pg. 5; Para. 43);

wherein the risk score is computed using pre determined weights and a patient's patient risk marker profile (Bienvenu; Pg. 5, Para. 43);

wherein the pharmacy risk groups comprise patient risk markers (Bienvenu; Pg. 5, Para. 43).

It would have been obvious to add this feature to the Robertson method with the motivation of having an effective system and method for assessing prescription drug history information stored in the databases, processing the information and incorporating the information in the insurance process (Bienvenu; Pg. 1, Para. 7)

Claim 10 repeats the limitations of claim 1 and the reasons for rejection are incorporated herein.

Response to Arguments

7. In the Remarks filed 16 January 2009, Applicant make the following arguments:

A) Robertson explicitly teaches away from the use of demographic data to assess risk in the automotive insurance context.

B) There is no motivation to combine Robertson and Bienvenu

C) The suggested combination does not disclose the present invention as claimed in the independent claims, and particularly the following limitations:

1) assigning the prescription data for each prescription to at least one risk group based upon at least one medical condition typically treated by the prescription.

2) storing risk data for the patient, wherein the risk data includes the risk groups for all prescription data of the patient;

3) calculating a risk score for the patient based upon the risk data and the demographic data of the patient.

The Examiner will address the arguments in the order that they appear in the Remarks.

Argument A:

In response to Applicant's first argument, Examiner respectfully submits that Robertson does not teach away from the use of demographic data to assess risk in the automotive insurance context. Robertson teaches using conventional risk classification (demographic data) in combination with using non-conventional risk classification methods (behavioral variables, personality traits) (Robertson; Pg. 2, para. 32). Robertson further goes on to say that these non-conventional methods need not be a replacement for the conventional risk classification methods. Applicant argues that Robertson neither teaches nor suggests the collection or use of demographic data in calculating risk and teaches away from the use of such information. However, Robertson (pg. 3, para. 51) clearly teaches collecting demographic data such as age, marital status and driving experience in addition to the survey answers. Thus, Robertson does not teach away from the use of demographic data. Robertson merely teaches that different techniques of risk classification, conventional and non-

conventional, are known in the art and can be used together and neither as a replacement for the other.

Argument B:

In response to Applicant's second argument, Examiner respectfully submits there is sufficient motivation to combine Robertson with Bienvenu. Applicant argues that Examiner's motivation to combine reference was made with hindsight and that Robertson teaches a different methodology in the automobile context and has nothing to do with prescription data (1/16/09 Remarks pg. 11). In response, it must be recognized that any judgment on obviousness is in a sense necessarily a reconstruction based upon hindsight reasoning. But so long as it takes into account only knowledge which was within the level of ordinary skill at the time the claimed invention was made, and does not include knowledge gleaned only from the applicant's disclosure, such a reconstruction is proper. See *In re McLaughlin*, 443 F.2d 1392, 170 USPQ 209 (CCPA 1971). Both references deal with insurance and classifying and determining risk. Robertson deals with automobile insurance but one of ordinary skill in the insurance art would recognize the principles of risk classification are applicable to insurance in any context, including health care.

Furthermore in response to applicant's argument that Robertson is nonanalogous art (automobile insurance), it has been held that a prior art reference must either be in

the field of applicant's endeavor or, if not, then be reasonably pertinent to the particular problem with which the applicant was concerned, in order to be relied upon as a basis for rejection of the claimed invention. See *In re Oetiker*, 977 F.2d 1443, 24 USPQ2d 1443 (Fed. Cir. 1992). In this case, Robertson and the claimed invention deal with insurance and risk classification. The claimed invention is particularly concerned with assessing risk for insuring a health care patient. Robertson's teachings of specific risk classification techniques are reasonably pertinent for assessing risk in any field including health care.

In response to applicant's argument that there is no suggestion to combine the references, the examiner recognizes that obviousness can only be established by combining or modifying the teachings of the prior art to produce the claimed invention where there is some teaching, suggestion, or motivation to do so found either in the references themselves or in the knowledge generally available to one of ordinary skill in the art. See *In re Fine*, 837 F.2d 1071, 5 USPQ2d 1596 (Fed. Cir. 1988) and *In re Jones*, 958 F.2d 347, 21 USPQ2d 1941 (Fed. Cir. 1992). In this case, Examiner believes that the cited motivation of "having an effective system and method for assessing prescription drug history information stored in the databases, processing the information and incorporating the information in the insurance process" (Bienvenu; Pg. 1, Para. 7) is sufficient. Examiner believes that one of ordinary skill in the art would be motivated to combine the Robertson risk classification techniques with the Bienvenu

prescription history system in order to have an effective prescription drug history system for an insurer as taught by Bienvenu.

In addition, as discussed in the *KSR International Co. v. Teleflex Inc. et al.*, 127 S.Ct 1727 (2007), “[o]ften, it will be necessary for a court to look to interrelated teachings of multiple patents; the effects of demands known to the design community or present in the marketplace; and the background knowledge possessed by a person having ordinary skill in the art, all in order to determine whether there was an apparent reason to combine the known elements in the fashion claimed by the patent at issue. To facilitate review, this analysis should be made explicit. See *In re Kahn*, 441 F. 3d 977, 988 (CA Fed. 2006) ([R]ejections on obviousness grounds cannot be sustained by mere conclusory statements; instead, there must be some articulated reasoning with some rational underpinning to support the legal conclusion of obviousness’). As our precedents make clear, however, the analysis need not seek out precise teachings directed to the specific subject matter of the challenged claim, for a court can take account of the inferences and creative steps that a person of ordinary skill in the art would employ” (emphasis added). One of ordinary skill in the art would be motivated to combine the teaching of Bienvenu and Robertson in order to have a complete system to insure risk of a healthcare patient. A person of ordinary skill in the art would be motivated to combine the Robertson risk classification techniques with the Bienvenu prescription history system in order to assess a healthcare patient's risk effectively and

accurately. As stated earlier, both references deal with insuring risk thus the specific techniques in Robertson are pertinent to the Bienvenu system.

Argument C:

In response to Applicant's third argument, the test for obviousness is not whether the features of a secondary reference may be bodily incorporated into the structure of the primary reference; nor is it that the claimed invention must be expressly suggested in any one or all of the references. Rather, the test is what the combined teachings of the references would have suggested to those of ordinary skill in the art. See *In re Keller*, 642 F.2d 413, 208 USPQ 871 (CCPA 1981). Examiner submits that the combined teachings of Robertson and Bienvenu teach the claimed invention. Examiner will discuss the particular reasons below.

Applicant argues that the combined references do not teach assigning the prescription data for each prescription to at least one risk group based upon at least one medical condition typically treated by the prescription. Examiner disagrees. Robertson teaches assigning the data to at least one risk group (Robertson; Pg. 4, Para. 64). Examiner admits that Robertson does not teach assigning prescription data to a risk group but brings in the Bienvenu reference for that purpose. Bienvenu teaches collecting and screening prescription of prescription history data by Pharmacy Benefit Managers for insurers to determine risks of an insured individual (see Pg. 1, paras. 4-

10). Thus, Robertson teaches the general risk classification technique and Bienvenu teaches the particular type of data (prescription history) to be incorporated with this technique. The motivation to combine these features is discussed above.

Next Applicant argues that the combined references do not teach storing risk data for the patient, wherein the risk data includes the risk groups for all prescription data of the patient and calculating a risk score for the patient based upon the risk data and the demographic data of the patient. Examiner disagrees. Robertson teaches the storing of risk data for the patient (Robertson; Pg. 4, Para. 65). Also, Robertson teaches calculating a risk score for the patient based upon the risk data and the demographic data of the patient (Robertson; Pg. 4, Para. 54). Again, Examiner submits one of ordinary skill in the art would combine the particular type of data (prescription history) taught by Bienvenu to the Robertson risk classification methodology.

Conclusion

8. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to MICHELLE LE whose telephone number is (571) 272-8207. The examiner can normally be reached on 8 AM - 5PM, M-F.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gerald O'Connor can be reached on (571) 272-6787. The fax phone number for the organization where this application or proceeding is assigned is (571) 273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or (571) 272-1000.

/Michelle Linh-Giang Le/
Examiner, Art Unit 3686
2/10/11